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PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

NOV 21 2002

The application of

Kazuo OYAYA, et al.

Appln. No.: 09/837,487

Confirmation No.: 9915

Filed: April 19, 2001

Docket No: Q64156

Group Art Unit: 266 RECEIVED

Examiner: Unknown NOV 22 2002

Technology Center 2600

For: ELECTRONIC AUDIT SYSTEM AND ELECTRONIC AUDIT METHOD

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents  
Washington, D.C. 20231

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NOV 26 2002

Technology Center 2100

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

1. ISO 14001 Development of electronic audit systems, Proceedings (4) of the 58<sup>th</sup> National Meeting of the Information Processing Society of Japan (1999 first term), Information Processing Society of Japan, March 11, 1999, pp. 4-303, 4-304.
2. Japanese Unexamined Patent Application Publication No. 11-175638, published July 2, 1999.
3. Japanese Unexamined Patent Application Publication No. 11-340965, published December 10, 1999.
4. Environmental Standard ISO 14001 Hitachi: "Towards a Proposal for Electronization and Networking of Audits." *Nikkei Sangyo Shimbun*, November 21, 1997, page 1.

Kazuo OOYA et al.  
09/837,487  
INFORMATION DISCLOSURE STATEMENT

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

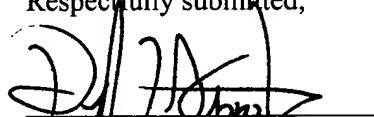
In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant encloses herewith a copy of a corresponding Japanese Office Action dated September 24, 2002 and an English translation of the pertinent portions thereof, which cites and indicates the degree of relevance found by the foreign patent office.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

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Respectfully submitted,



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J. Frank Osha  
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Ref. # Q64156

Description (See the List of Cited Literature for a list of cited literature.)

- Claims 1 through 8
- Cited Literature 1 and 2
- Remarks

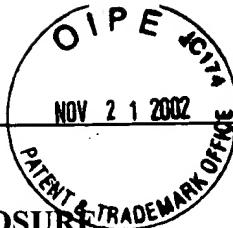
Cited Literature 1 describes an ISO 14001 electronic audit system; Cited Literature 2 also describes a similar electronic audit system. Providing an accessor authentication means based on ID and password for security management is a technique so well known in this technical field that no examples need be given.

List of Cited Literature

1. ISO 14001 Development of electronic audit systems.  
Proceedings (4) of the 58th National Meeting of the Information Processing Society of Japan (1999 first term), Information Processing Society of Japan, March 11, 1999, pp. 4-303, 304.
2. Japanese Unexamined Patent Application Publication H11-175638

Record of Prior Art Literature Search Results

- Fields searched                   IPC 7<sup>th</sup> Edition G06F 17/60
- Prior art literature  
Japanese Unexamined Patent Application Publication H11-340965  
Environmental Standard ISO 14001 Hitachi: "Towards a Proposal for Electronization and Networking of Audits." *Nikkei Sangyo Shimbun*, November 21, 1997, page 1.



Substitute for Form 1449 A & B/PTO

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

*(use as many sheets as necessary)*

Sheet 1 of 1

<i>Complete if Known</i>	
Application Number	09/837,487
Confirmation Number	9915
Filing Date	April 19, 2001
First Named Inventor	Kazuo OOYA
Art Unit	2661
Examiner Name	Unknown
Attorney Docket Number	Q64156

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

#### **OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		ISO 14001 Development of electronic audit systems. Proceedings (4) of the 58 <sup>th</sup> National Meeting of the Information Processing Society of Japan (1999 first term), Information Processing Society of Japan, March 11, 1999, pp. 4-303, 4-304.	
		Environmental Standard ISO 14001 Hitachi: "Towards a Proposal for Electronization and Networking of Audits." <i>Nikkei Sangyo Shimbun</i> , November 21, 1997, page 1.	

<b>Examiner Signature</b>		<b>Date Considered</b>	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.